(FILE 'HOME' ENTERED AT 15:29:52 ON 28 NOV 1999)

FILE 'ENERGY, EUROPATFULL, INPADOC, JAPIO, PATOSEP, USPATFULL, PATOSWO'
ENTERED AT 15:33:28 ON 28 NOV 1999

L1   17658 S BUY OR BUYING
L2   163164 S SELL OR SOLD OR SELLING
L3   149341 S TRADE OR TRADING
L4   182184 S BID OR BIDDING OR MATCH
L5   285040 S MATCHING OR MATCHED
L6   3521885 S POWER OR ENERGY
L7   2194982 S ELECTRIC OR ELECTRICITY OR ELECTRICAL
L8   1851390 S VOLTAGE OR CURRENT
L9   38069 S (L1 OR L2 OR L3 OR L4 OR L5) (5A) (L6 OR L7 OR L8)
L10   48 S (REMOTE OR REMOTELY) (5A) L9
L11   8 S (CENTRE OR CENTRALLY) (5A) L9
L12   56 S L10 OR L11

TI   Transmission policy proposals and the keystone transmission project.
AU   Edelston, B.S. (Edison Electric Inst., Washington, DC (United States))
AB   This paper reports on the use of the nation's electric transmission systems, not only for the
purposes of maintaining reliability, but also for reducing costs of power supply by moving power
from low-cost areas of generation to higher-cost areas. The push for increased use of the
transmission system has essentially come from two constituency groups - wholesale purchasers of
electricity who do not own sufficient transmission themselves to import power, and non-utility
generators of power (or NUGs, as they have come to be known) who wish to use the transmission
system to sell power from their generation projects to remote utility purchasers. There has been
some advocacy for allowing individual retail customers to access transmission to buy power from
other than their local utility, but that movement has gained little ground.

AN   1998:140314 USPATFULL
TI   Method and system for processing and transmitting electronic auction information
IN   Fisher, Alan S., Fremont, CA, United States
      Kaplan, Samuel Jerrold, Hillsborough, CA, United States
PA   Onsale, Inc., Menlo Park, CA, United States (U.S. corporation)
PI   US 5835896 19981110
AI   US 1996-623654 19960329 (8)
DT   Utility
EXNAM Primary Examiner: Poinvil, Frantzy
LREP Tachner, Adam H.Crosby, Heafey, Roach & May
CLMN   Number of Claims: 4
ECL   Exemplary Claim: 1
DRWN   14 Drawing Figure(s); 12 Drawing Page(s)
LN.CNT 844

AB   A system and method for conducting a multi-person, interactive auction, in a variety of formats, without using a human auctioneer to conduct the auction. The system is preferably implemented in software. The system allows a group of bidders to interactively place bids over a computer or communications network. Those bids are recorded by the system and the bidders are updated with the current auction status information. When appropriate, the system closes the auction from further bidding and notifies the winning bidders and losers as to the auction outcome.
SUMM . . . an electronic network from bidders that are remote to the site of a live auction. This system records bids from   ***remote*** bidders and simultaneously transmits the ***current*** high ***bid*** from the floor of the physical auction to the terminals of the remote bidders. However, this patent does not disclose. . .
AN   1998:140314 USPATFULL
TI   Method and system for processing and transmitting electronic auction information
INCL INCLM: 705/037.000
      INCLS: 705/027.000
NCL   NCLM: 705/037.000
      NCLS: 705/027.000
IC   [6]
      ICM: G06F015-300
GI   SECTION   PAGES   FORMAT   SIZE
      ----------- --------- ---------- -------
      FRONT PAGE 1   PAGE.FP   63K
      DRAWINGS   2-13   PAGE.DRAW 250K
      DESCRIPTION 14-20   PAGE.DESC 925K
      CLAIMS   20-20   PAGE.CLM   114K
      COMPLETE   1-20   PAGE.ALL   1240K

      Use PAGE(n) to retrieve a specific page

AN   1998:96958 USPATFULL
TI   Method of conducting an on-line auction with bid pooling
IN   Brown, Stephen J., Mountain View, CA, United States
PA   Health Hero Network, Inc., Mountain View, CA, United States (U.S. corporation)
PI   US 5794219 19980811
AI   US 1996-603131 19960220 (8)
DT   Utility
EXNAM Primary Examiner: Tkacs, Stephen
LREP   Luhen Intellectual Property Services
CLMN   Number of Claims: 20
ECL   Exemplary Claim: 11
DRWN   10 Drawing Figure(s); 7 Drawing Page(s)
LN.CNT 664

AB   A method of conducting an on-line auction that permits individual bidders to pool bids during a bidding session. The auction is conducted over a computer network that includes a central computer, a number of remote computers, and communication lines connecting the remote computers to the central computer. A number of bidding groups are registered in the central computer, each bidding group having a total bid for the item being auctioned. Bids entered from the remote computers are received in the central computer, each bid including a bid amount and a bid designation. Each bid amount is contributed to the total bid of the bidding group indicated by the bid designation. The bidding group having the largest total bid at the end of the bidding session wins the item being auctioned.

SUMM   . . . host computer connected via communication lines to many remote terminals of individual bidders. The individual bidders enter bids from their ***remote*** terminals and the ***current*** highest ***bid*** and eventual winning ***bid*** are displayed in real-time on the remote terminals.

AN   1998:96958 USPATFULL
TI   Method of conducting an on-line auction with bid pooling
INCL   INCLM: 705/037.000
       INCLS: 705/026.000; 705/027.000; 705/039.000
NCL   NCLM: 705/037.000
       NCLS: 705/026.000; 705/027.000; 705/039.000
IC   [6]
      ICM: G06F017-60
GI   SECTION   PAGES   FORMAT   SIZE
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      FRONT PAGE 1   PAGE.FP   71K
      DRAWINGS   2-8   PAGE.DRAW 171K
      DESCRIPTION 9-13   PAGE.DESC 679K
      CLAIMS   13-14   PAGE.CLM   178K
      COMPLETE   1-14   PAGE.ALL   969K

      Use PAGE(n) to retrieve a specific page

L3   ANSWER 21 OF 70   USPATFULL
AN   97:79375 USPATFULL
TI   Interactive computer system to match buyers and sellers of real estate,
          businesses and other property using the internet
IN   Fraser, Richard, 10 Glen Avon Dr., Riverside, CT, United States 06878
PI   US 5664115 19970902
AI   US 1995-477641 19950607 (8)   <--
DT   Utility
EXNAM   Primary Examiner: McElheny, Jr., Donald E.
LREP   Hogue, Sr., Dale CurtisKilpatrick Stockton LLP
CLMN   Number of Claims: 8
ECL   Exemplary Claim: 1
DRWN   14 Drawing Figure(s); 12 Drawing Page(s)
LN.CNT 679

AB   A method and apparatus of automatically matching sellers of property
          with potential buyers through a communications network (preferably the
          Internet) in which a host system communicates with the sellers and the
          potential buyers over telephone or dedicated data transmission lines.
          The host system obtains and stores a first set of records each
          corresponding to a property to be sold. The first set of records can
          then be search by a remote data terminal associated with a potential
          buyer. The results of this search are then provided to the potential
          buyer, who indicates specific property listings that the potential
buyer
          may be interested in purchasing. The potential buyer provides
          identifying information which is then provided to the sellers of the
          indicated property. Provisions are made to ensure that the sellers who
          list property support the system. Further, the system permits automatic
          evaluation of potential buyers to screen buyers whose information does
          not match minimum criteria provided by the seller.

INCL   INCLM: 705/037.000
NCL   NCLM: **705/037.000**
IC   [6]
          ICM: G06F017-60

GI   SECTION   PAGES   FORMAT   SIZE
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          FRONT PAGE   1   PAGE.FP   60K
          DRAWINGS   2-13   PAGE.DRAW   185K
          DESCRIPTION   14-18   PAGE.DESC   688K
          CLAIMS   18-19   PAGE.CLM   204K
          COMPLETE   1-19   PAGE.ALL   999K

AN   1999:80084   USPATFULL
TI   Negotiated matching system
IN   Silverman, David L., Saint James, NY, United States
        Donner, William L., London, United Kingdom
        Ordish, Christopher J., Hurstcraft, United Kingdom
PA   Geneva Branch of Reuters Transaction Services Limited, Switzerland
        (non-U.S. corporation)
PI   US 5924082   19990713
AI   US 1995-475499   19950607 (8)   <--
PRAI   GB 1994-16673   19940817
DT   Utility
EXNAM   Primary Examiner: Cosimano, Edward R.
LREP   Banner & Witcoff, Ltd.
CLMN   Number of Claims: 39
ECL   Exemplary Claim: 1
DRWN   8 Drawing Figure(s); 7 Drawing Page(s)
LN.CNT 1027

AB   A negotiated matching system includes a plurality of remote terminals
        associated with respective potential counterparties, a communications
        network for permitting communication between the remote terminals, and
a
        matching station. Each user enters trading information and ranking
        information into his or her remote terminal. The matching station then
        uses the trading and ranking information from each user to identify
        transactions between counterparties that are mutually acceptable based
        on the ranking information, thereby matching potential counterparties
to
        a transaction. Once a match occurs, the potential counterparties
        transmit negotiating messages to negotiate some or all terms of the
        transaction. Thus, the negotiated matching system first matches
        potential counterparties who are acceptable to each other based on
        trading and ranking information, and then enables the two
counterparties
        to negotiate and finalize the terms of a transaction.

AN   1999:80084   USPATFULL
TI   Negotiated matching system
INCL   INCLM: 705/037.000
        INCLS: 705/035.000
NCL   NCLM: **705/037.000**
        NCLS: 705/035.000
IC   [6]
        ICM: G06F017-60
GI   SECTION   PAGES   FORMAT   SIZE
        -----------   ---------   ----------   -------
        FRONT PAGE   1   PAGE.FP   63K
        DRAWINGS   2-8   PAGE.DRAW   197K
        DESCRIPTION   9-15   PAGE.DESC   901K
        CLAIMS   15-17   PAGE.CLM   324K
        COMPLETE   1-17   PAGE.ALL   1355K

US-PAT-NO: 5794212
DOCUMENT-IDENTIFIER: US 5794212 A
TITLE: System and method for providing more efficient communications between energy suppliers, energy purchasers and transportation providers as necessary for an efficient and non-discriminatory energy market
DATE-ISSUED: August 11, 1998
INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Mistr, Jr.; Alfred F.	Chesterfield County	VA	N/A	N/A

US-CL-CURRENT: 705/26,702/62 ,705/37 ,705/412

ABSTRACT: A method for providing more efficient communication between energy suppliers, energy purchasers, and transportation providers and having an administrator to assist in the transmission of energy as necessary for providing timely movement of energy. The method includes the steps of connecting an energy supplier, a buyer, a transmission supplier and the administrator through a network, and providing a program-controlled processor for receiving energy information from the buyer, the energy supplier and the transmission supplier. The processor is adapted to process and store the energy information, and communicate the energy information via the network to all the parties. The method includes the steps of verifying the reliability of the transportation of energy, providing access to the buyer to the energy information stored in a data base connected to the processor to assist the buyer in negotiating for the transportation of energy, and communicating the acceptance by the buyer to the energy supplier and to the transmission supplier. The method can further include the steps of sending invoices for the transmission of energy and paying the energy supplier and the transmission supplier for the transmission.

19 Claims,   5 Drawing figures
Exemplary Claim Number: 1
Number of Drawing Sheets: 5

BSPR: In order to overcome the above-mentioned defects in the Contract Path Approach and to overcome the inefficiencies in the present energy transportation network, there is a need for an improved system and method for energy trading that provides for (i) proper allocation and payment for facilities actually used; (ii) speed of communication between the energy provider, the energy purchaser and the transmission owners and of timely commitment between the same; (iii) continuous evaluation of reliability of the delivery of energy; (iv) availability of information to the provider, the buyer and the transmission owners simultaneously and without discrimination; (v) uniform posting of offers to sell and offers to buy energy ; and (vi) uniform terms and conditions between all buyers, providers and transmission owners. The system and method of the present invention provides these requirements as described in the following summary.

US-PAT-NO: 6021402
DOCUMENT-IDENTIFIER: US 6021402 A
TITLE: Risk management system for electric utilities
DATE-ISSUED: February 1, 2000
INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Takriti; Samer	Chappaqua	NY	N/A	N/A

US-CL-CURRENT: 705/412,700/28 ,700/286 ,700/29 ,700/291 ,700/295 ,700/32 ,700/33

ABSTRACT: A computer implemented risk-management system schedules the generating units of an electric utility while taking into consideration power trading with other utilities and the stochastic load on the utility system. The system provides the user with a tool that generates multiple load forecasts and allows the user to vary the fuel price between the different scenarios and the different periods of the planning horizon. The tool allows the user to model accurately the uncertain trading transactions and the changing fuel prices to meet the electric demand of customers at a minimal cost while making the maximum profit possible from power trading. The tool also allows the user to apply any set of linear constraints to fuels. A mathematical model of the problem is solved to provide the status of each generator at each time period of the planning horizon under each given scenario, the load on each generator during each period in which it is operating, an optimal fuel mix for each generating unit, and the prices for purchasing and selling power in the periods of the planning horizon.

7 Claims,   18 Drawing figures
Exemplary Claim Number: 1
Number of Drawing Sheets: 13

DEPR: Fifth, to incorporate trading transactions, the user of our system must provide his or her view of the future power market. Using the weather forecast and information that may influence power usage in other regions of the country, the quantities that may be offered for trading. The projection of trading transactions is performed for the next two to seven days. The tool according to the invention uses four parameters to describe a transaction. These parameters are: amount of power, $v(j)$ MWH; price per unit, $.zeta..sub.j$ $/MWH; the probability, $.pi..sub.j$, that such a transaction may take place; and the delivery time of the transaction. The delivery time of a transaction indicates the date and time at which power will be delivered. The delivery time can be on-peak (between 7:00 a.m. and 10:59 p.m.) or off-peak (between 11:00 p.m. and 6:59 a.m.). Weekends are considered off-peak.

DEPR: Fourth, the procedure also provides the average cost per unit of power, $.lambda..sub.t.sup.s$, at each time period under every scenario. These values can be used in pricing the power at each time period of the planning horizon. Note that as time progresses, we obtain a new forecast. The excess capacity in the electric system (over the refined forecast) represents the amount of power that we should offer to sell in the market. In case of having less generation than the new forecasted load, we buy the needed power from the open market.

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US-PAT-NO: 6115698
DOCUMENT-IDENTIFIER: US 6115698 A
TITLE: Apparatus and method for trading electric energy
DATE-ISSUED: September 5, 2000
INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Tuck; David	Woodstock	GA	N/A	N/A
Weier; Bruce	Urbandale	IA	N/A	N/A
Stojka; John	Dunwoody	GA	N/A	N/A

US-CL-CURRENT: 705/37,705/26

ABSTRACT: Electric energy can be traded between connected participants such as utility companies. The present method provides a common marketplace which provides participants the ability to display both buy and sell offers to the other participants. The marketplace also allows the participants to consummate a transaction for a quantity of electrical energy. The method further allows the participants to curtail transactions and the delivery of the electrical energy if necessary.

24 Claims,   67 Drawing figures
Exemplary Claim Number: 1
Number of Drawing Sheets: 29

DEPR: The CPEX next-hour 16 market opens at the top of each hour 20, as shown in FIG. 2, and remains open to forty minutes past the hour 22. During the forty minutes, the identities of Participants submitting and accepting offers to buy and sell hourly energy for the following hour are considered market-sensitive information and held confidential. At forty minutes after the hour, each Participant receives a schedule summary which shows all transactions the Participant is scheduled to participate in during the coming hour. From forty minutes after the hour, to fifty-five minutes after the hour 24, Participants enter CPEX schedules into their energy management systems and complete control area scheduling procedures. Starting at fifty-five minutes after the hour, schedules are ramped in over a ten minute period and energy delivery commences. One hour later, starting at fifty-five minutes after the hour, schedules are likewise ramped out over a ten minute period and energy delivery ends.

DEPR: Participants determine and set the transfer capabilities of each interface. Upon becoming Participants in the CPEX market, each Participant must establish a maximum import and export limit for each interface. These limits are displayed on a computer generated display 46a, 46b. On an ongoing basis, however, each Participant's operators may set the import (In) and export (Out) Hourly Limits at any value between zero and the maximum, based on current operating conditions. As illustrated in FIG. 4, the Hourly Limits set by Participants on either side of an interface may be different. For example, CIPS 32 might consider the hourly input limit on its IPC interface to equal 250 megawatt-hours (MWh). However, IPC might consider the hourly output limit on its CIPS interface to equal 300 MWh. In such a case, CPEX enforces the more restrictive limitation on both Participants. Note that the line limit exceeds the import/export limit. The difference takes into account the amount of energy distributed by the Participant over its lines to

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its own customers. As Participants accept offers to buy and sell energy, using the CIPS/IPC interface, CPEX indicates the increased scheduling of this interface, as shown by the Hourly Schedule values, and lowers the remaining unused transfer capability by a corresponding amount.

DEPR: Market Trader access allows a user to perform any non-system administration function within CPEX, including submitting, accepting, and curtailing offers to buy and sell energy as well as setting transmission interface limits. Market Viewer access, in contrast, affords a user view-only privileges to market and transmission information, but allows the requesting, saving, and printing of reports.

DEPR: FIGS. 14 to 27 illustrate the various features of the Market View screen 128 which displays transaction and transmission data for either the Current Hour or the Next Hour. The Market View 128 enables a Participant to submit offers to buy and sell energy, to accept other Participant's offers to buy and sell energy, and to view and curtail confirmed schedules. The Transmission View enables a user to monitor and change transmission interface limits and wheeling rates. After logging into CPEX and confirming transmission limits, CPEX defaults to the Market View shown in FIG. 14. The Current button 130 and Next button 132 centered at the bottom of the display indicates whether the information displayed is Current Hour or Next-hour. The Market View contains two panels 134, 136 with duplicate capabilities. The purpose of this ease-of-use feature is to provide the simultaneous display of two CPEX screens. Attached to each of the two panels are five tabs. Buy 138 allows the user to submit, view, or withdraw offers to buy energy. Sell 140 allows the user to submit, view, or withdraw offers to sell energy . Buy Market 142 allows the user to view or accept other Participants' offers to sell energy . Likewise, Sell Market 144 allows the user to view or accept other Participants' offers to buy energy. Schedule 146 allows the user to view or curtail scheduled transactions. Below the two panels in the Market View is the "dashboard", which contains several displays summarizing the Participant's ongoing CPEX activity. The dashboard is divided into three sections: Schedule List 148, Total/Net Activity Summary 150, and Interface Usage Bar Chart 152.

DEPR: FIGS. 16 to 18 illustrate a Participant submitting an offer to buy or sell energy by selecting the Buy or Sell tabs in the Market View when the market is open. The user has selected the Sell tab 140 in the left panel and the Buy tab 138 in the right panel. To submit an offer to buy or sell energy, the user presses the Add button 160 in either the Buy or Sell panel and enters the following information about the offer. MWh indicates the quantity of energy (MWh) being offered for sale or purchase. $/MWh indicates the purchase or sell price ($/MWh) being offered. N/I indicates whether the sale is non-interruptible or interruptible energy. Usage Fee indicates the amount ($/MWh) to be added to the offered sell price which may be used to separate some portion of the sales revenue for accounting purposes (not applicable for the Buy tab). Upon entering an offer(s) to buy or sell, as shown below, the user may press the Send button 162 to submit the offer(s) to the marketplace or press the Delete button 164 to remove the offer(s). After pressing the Send button 162, the dialogue box of FIG. 18 appears, prompting the user to confirm its offers to be submitted to the marketplace. Upon reviewing the offers, the user may press the Confirm 166 button to submit the offers or press the Cancel button 168 to terminate the process and return

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to the Market View.

DEPR: In addition to submitting offers to buy or sell energy, a user may also accept other Participants offers to buy or sell energy . This is accomplished by selecting the Buy Market or Sell Market tabs in the Market View when the market is open. The naming convention for the Sell Market and Buy Market tabs is from the user's perspective. For example, the Sell Market displays other Participants' offers to buy which represent selling opportunities for the user. Similarly, the Buy Market displays other Participants' offers to sell which represent buying opportunities for the user.

DEPR: FIG. 20 illustrates the software generated screen displayed when the user selects the Sell Market tab in the left panel and the Buy Market tab in the right panel. Participants' offers to sell energy in the Buy Market table are displayed in "best-cost" (ascending) order based on the $/MWh price. Participants' offers to buy energy in the Sell Market table are likewise displayed in the "best-cost" (descending) order. Offers displayed in each table are available to the user and reflect a deliverable price and quantity of energy. Using the radio buttons at the top of each panel, the user may designate whether he wishes to view interruptible or non-interruptible energy offers. As many as 40 offers may be displayed in each table at any one time. Information is displayed for each offer in the Sell Market and Buy Market. MWh indicates the quantity of energy offered for sell or purchase. $/MWh indicates the price of energy net of any applicable wheeling charges. CPEX determines the least cost, feasible contract path for scheduling each transaction. For sell offers in the Buy Market table, this price includes any wheeling charges. For buy offers in the Sell Market table, this price represents the net revenue available to the user net of any wheeling charges. # of Viewers indicates the total number of Participants for whom a feasible contract path exists over which to schedule the transaction. "PI" indicates the Performance Index of the offer that acts as a reliability indicator. This Index reflects the recent tendency of parties to an offer (e.g., buyer/seller and/or wheelers) to curtail transactions. As previously described, CPEX maintains both a buy/sell PI and a wheeling PI for each Participant. The buy/sell PI represents the number of times out of the most recent 100 transactions for which the Participant was a Buyer or Seller that it did not initiate curtailment. For example, if a Participant curtailed eight out of the most recent 100 transactions for which it was a Buyer or Seller, its buy/sell PI would be 92. Similarly, if a Participant curtailed three of the most recent 100 transactions for which it was a Wheeler, its wheeling PI would be 97. For transactions involving no wheelers, the PI associated with an individual offer is the Buyer's or Seller's buy/sell PI. For transactions involving wheelers, the PI associated with an individual offer is the product of every Wheeler's wheeling PI and the Buyer's or Seller's buy/sell PI:

DEPR: FIG. 33 illustrates the software generated Future Markets Setup screen which enables the user to store default values for transmission service (wheeling rates) and transmission (interface) limits, as well as offers to buy and sell energy . This screen is accessed by selecting the Future Market button 214 on the Market View screen. The values displayed in the Future Market setup take effect at the beginning of the Next-hour and every hour thereafter unless the values are changed in the Future Markets Setup. To change a transmission (wheeling) service charge for

subsequent hours, the user selects the desired interface and enters the new rate for the appropriate wheeling path in the upper right panel of this display. At the beginning of the hour, this new rate will be displayed n the $MWh column of the Link display. To change transmission (interface) limited for subsequent hours, the user selects the desired interface and enters the new Limit In or Limit Out value in the lower right panel of this display. When the market opens for the Next-hour, the revised limit is reflected in the interface limits table of the Market Open dialogue box and in the Transmission table of the Transmission View. The user may also store buy and sell offers in the Future Market Setup, as the upper and lower left panels of the display indicate. When the market opens Next-hour, these offers are "pre-loaded" in the Participant's Buy and Sell tabs of the Market View. The user must then press the Send button within the Buy or Sell tabs to submit these offers to the marketplace; otherwise, the offers are not displayed to any other Participants. The user may edit information (MWh, $/MWh, N/I or Usage Fee) about these "pre-loaded" offers in the Buy or Sell tab prior to submitting the offer to the marketplace. "Pre-loaded" offers may also be deleted.

CLPV: (e) displaying a reliability indicator associated with any <u>offer to sell electric</u> energy.

199	Confirmation Clearing Corp	www.confirmcorp.com
200	EnergyClear	www.energyclear.com
201	NexClear	www.nexclear.com
202	TradeCapture	www.tradecapture.com

203   SPECIAL FEATURE:

204   Photograph: 1. At most trading houses, trades are made and entered--captured, in other
205 words--in the front office by traders, their analysts, assistants, deal input clerks, or even by a
206 pool of deal-capture specialists
207   Photograph: 2. If both parties to a deal are subscribers to the company's service, they
208 would send their version of its details to Confirmation Clearing Corp (CCC) and have CCC do
209 the work of matching and confirmation. Note the connections to EnergyClear and NexClear,
210 which are responsible for clearing and settlement